

FORM PTO-1390  
(REV 10-94)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

P5276b

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 37 U.S.C. 371U.S. APPLICATION NO. (If known, see 37 C.F.R.  
1.5)

09/762126

INTERNATIONAL APPLICATION NO.

PCT/JP00/03625

INTERNATIONAL FILING DATE

June 2, 2000

PRIORITY DATE CLAIMED

June 4, 1999

TITLE OF INVENTION: DOCUMENT CATEGORIZING METHOD, DOCUMENT CATEGORIZING APPARATUS, AND STORAGE MEDIUM ON WHICH A DOCUMENT CATEGORIZATION PROGRAM IS STORED

APPLICANT(S) FOR DO/EO/US

Michihiro Nagaishi, Shinji Miwa,

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☒ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☒ has been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11. to 16. below concern document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A FIRST preliminary amendment.  
☐ A SECOND or SUBSEQUENT preliminary amendment
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or information:  
Postcard; PCT/IB/308; International Search Report (PCT/ISA/210) in Japanese & English, Front page of published PCT application, PCT Request in Japanese & English, and PCT International Application

U.S. APPLICATION NO. (if known, see 37 CFR 1.5)	INTERNATIONAL APPLICATION NO.	ATTORNEY'S DOCKET NUMBER
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17. <input checked="" type="checkbox"/> The following fees are submitted:				CALCULATIONS		PTO USE ONLY	
The international search fee, as set forth in § 1.445(a)(2) to be paid to the US PTO acting as an international Searching Authority:							
<input type="checkbox"/> has been paid (37 CFR 1.492(a)(2)) \$							
<input type="checkbox"/> has not been paid (37 CFR 1.492(a)(3)) \$							
<input checked="" type="checkbox"/> where a search report on the international application has been prepared by the European Patent Office or the Japanese Patent Office (37 CFR 1.492(a)(5)) \$860							
ENTER APPROPRIATE BASIC FEE AMOUNT =				\$860.00			
Surcharge of \$ for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e))				\$ 0.00			
* CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE				
Total claims	13 - 20 =	0	X	\$ 0.00			
Independent claims	6 - 3 =	3	X 80	\$240.00			
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+	\$ 0.00			
TOTAL OF ABOVE CALCULATIONS =				\$1,100.00			
Reduction by 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28).				\$ 0.00			
SUBTOTAL =				\$1,100.00			
Processing fee of \$ for furnishing the English translation later than <input type="checkbox"/> 20 <input checked="" type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$ 0.00			
TOTAL NATIONAL FEE =				\$ 0.00			
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$ per property +				\$ 0.00			
TOTAL FEES ENCLOSED =				\$1,100.00			
*See Preliminary Amendment reducing the number of Claims filed concurrently herewith				Amount to be:			
				refunded		\$	
				charged		\$	

- a. ☐ A check in the amount of \$ to cover the above fees is enclosed..
- b. ☒ Please charge Deposit Account No. 19-2746 in the amount \$1,100.00 to cover the above fees. A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 19-2746. A duplicate copy of this sheet is enclosed.

**NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.**

Send all correspondence to:

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 Intellectual Property Department  
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*Rosalio Haro*  
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 Registration No. 42,633

09/762126

Rec'd PCT/PTO 02 FEB 2001

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**APPLICATION****FOR****UNITED STATES LETTERS PATENT**

Be it known that we, Michihiro Nagaishi and Shinji Miwa, both citizens of Japan, of 3-5 Owa 3-chome, Suwa-shi, Nagano-ken, 392 Japan, c/o Seiko Epson Corporation, have invented new and useful improvements in:

**DOCUMENT CATEGORIZING METHOD, DOCUMENT CATEGORIZING  
APPARATUS, AND STORAGE MEDIUM ON WHICH A DOCUMENT  
CATEGORIZATION PROGRAM IS STORED**


of which the following is the specification.

**CERTIFICATION UNDER 37 C.F.R. 1.10**

"Express Mail" Mailing Label Number: EL700476068US

Date of Deposit: February 2, 2001

I hereby certify that this patent application is being deposited with the United States Postal Service on this date in an envelope as "Express Mail Post Office to Addressee" service under 37 C.F.R. 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, DC 20231.

  
Ann F. George

09/762126

JC03 R d PCT/PTO 02 FEB 2001

CERTIFICATION UNDER 37 C.F.R. 1.10

"Express Mail" Mailing Label Number: EL700476068US

Date of Deposit: February 2, 2001

I hereby certify that this transmittal, documents identified as being included and patent application, being filed under 37 U.S.C. 371, is being deposited with the United States Postal Service on this date in an envelope as "Express Mail Post Office to Addressee" service under 37 C.F.R. 1.10 on the date indicated above and is addressed to Box PCT, Assistant Commissioner for Patents, Washington, DC 20231.

  
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Ann F. George